

U.S. DEPARTMENT OF COMMERCE  
Economics and Statistics Administration  
U.S. CENSUS BUREAU



FORM

SA-52392A

**DUE  
DATE** ➔

**NOTICE** — Your report to the Census Bureau is **confidential** by law (Title 13, U.S. Code). It may be seen only by persons sworn to uphold the confidentiality of Census Bureau information and may be used only for statistical purposes. The law also provides that copies retained in your files are **immune from legal process**.

**RETURN COMPLETED FORM TO**



**U.S. CENSUS BUREAU**  
1201 East 10th Street  
Jeffersonville, IN 47132-0001

Any questions call  
1-800-772-7851 weekdays,  
8:30 a.m. to 5:00 p.m. EST

# 2003 SERVICE ANNUAL SURVEY

## PORTFOLIO MANAGEMENT

137 SAS\_F  
523920 T

(Please correct any error in name, address, or ZIP Code)

**YOUR RESPONSE IS REQUIRED BY LAW.** Title 13, U.S. Code, requires businesses and other organizations that receive this questionnaire to answer the questions and return the report to the Census Bureau.

**Item 1**

**SURVEY COVERAGE**

This report covers all domestic locations operated by your company and its subsidiaries primarily engaged in managing portfolio assets (i.e., funds) of others on a fee or commission basis. Locations have the authority to make investment decisions, and derive fees based on the size and/or overall performance of the portfolio. Examples include managing trusts, mutual fund managing, pension fund managing, and portfolio fund managing.

Does this firm have domestic locations providing one of the business activities described in the survey coverage above?

- 0001 1 ☐ Yes — Continue with Item 3  
2 ☐ No — Specify your business activity and continue with Item 3, and complete as much of the survey form as possible. ➔

0002

**Item 2**

**NOT APPLICABLE TO THIS FORM**

**Item 3**

**REPORT PERIOD**

Mark (X) the one box which best describes the period covered by your report.

0006 1 ☐ Calendar year — Go to Item 4A

If the data reported are for a period other than the "calendar year," please enter the beginning and ending dates.

2 ☐ Fiscal year

3 ☐ Less than 12 months

From

To

**2003**

Month Day Year

0007

0008

**Item 4A SOURCES OF REVENUE**

**An estimate is acceptable if a book figure is not available.**

**Do not combine data for two or more detail lines.**

**Enter "0" in items where applicable.**

**Exclude intracompany transfers.**

**Include** interest, dividends, royalties, net realized capital gains (losses); commissions and fees from all sources, including fees earned from exchanging currencies, selling money orders, and cashing checks; and net gains (losses) from the sale of real estate property owned by a firm for investment, rent, or lease (NOT gross sales). Report sources of revenue for this company as whole dollar figures.

	Key code	2003			
		Bil.	Mil.	Thou.	Dol.
1. Commissions from the sale of securities (including investment company securities) and commodities	500				
2. Net gains (losses) in trading accounts in securities and commodities:					
a. Net interest income from trading accounts in securities	501				
b. Net gains (losses) from trading accounts in securities	502				
c. Net gains (losses) in trading accounts in commodities	503				
3. Net gains (losses) from underwriting and selling groups of securities:					
a. Mortgage Backed Securities (MBS), Collateralized Mortgage Obligations (CMO), and Real Estate Mortgage Investment Conduits (REMIC) transactions	504				
b. All other securities transactions	505				
4. Net gains (losses) on investment accounts ( <b>Note:</b> Report interest income from investment accounts on line 6)	506				
5. Dividend income	507				
6. Margin interest and other interest income, including Repurchase Agreement (REPO)	508				
7. Other investment income (net); (e.g., income from partnership(s), loans, notes, mortgages, equipment and facilities, goodwill [net of accumulated amortization], real estate, and other assets).	509				
8. Asset/portfolio management fees, 12b-1 fees, including investment advisory fees where investment decisions are made for clients; fees from investment consulting and advice (no investment management for clients); merger/acquisition fees; private placement fees; etc. Report other consulting and advice on line 9.	510				
9. Other revenue including income from fiduciary (trust, custody, and escrow) activities, royalties, insurance and annuity commissions, and any other revenue source(s) — <i>If other revenue is greater than 20% of total revenue – Specify</i> <input type="checkbox"/> 1001	511				
10. Total Revenue	002				

**Item 4B EXPORTED SERVICES**

**An estimate is acceptable if a book figure is not available.**

**Note** – An exported service is a service performed for a customer or client (individual, government, business establishment, etc.) located outside the United States (i.e., outside the 50 states, District of Columbia, U.S. Commonwealth Territories, or U.S. possessions). Services performed for unaffiliated and affiliated foreign firms (i.e., foreign parent firms, subsidiaries, branches, etc.) are included. **Exclude** services provided to domestic subsidiaries of foreign firms.

Did the total revenue reported in item 4A include any amounts received for exported services or products?

☐ 0009

1 ☐ Yes

2 ☐ No

Key code	2003			
	Bil.	Mil.	Thou.	Dol.
004				

**Item 4C E-COMMERCE RECEIPTS/REVENUE**

E-commerce includes sales, commissions, rents, or fees collected from any transaction completed over an Internet, extranet, EDI network, electronic mail or other online system. Transactions are agreements between buyers and sellers to transfer ownership of, or rights to use, goods or services. Payment for these goods and services may or may not be made online. Please see the General Instruction sheet for further clarification before completing this item.

**An estimate is acceptable if a book figure is not available.**

1. Did your firm have e-commerce receipts/revenue during 2003?

☐ 0011

1 ☐ Yes – Enter the date your firm began e-commerce sales.

2 ☐ No – Continue to Item 4D.

☐ 0010

Month (i.e., June=06)      Year (i.e., 2003=03)

2. What were your firm's e-commerce receipts/revenue for 2003? (**Include** e-commerce receipts/revenue in Item 4A. **Exclude** sales taxes.)

Key code	2003			
	Bil.	Mil.	Thou.	Dol.
005				

Item 4D TOTAL OPERATING EXPENSES							
<p><b>Include</b> annual payroll on a <b>cash</b> basis, employer's contributions to employee benefits plans on a <b>cash</b> basis, cost of contract labor, materials and supplies, fuels for motor vehicles, purchased services, insurance, depreciation, taxes and licenses, bank charges associated with maintaining accounts, investment and brokerage fees, credit card transaction fees, royalties, and all other operating expenses.</p>		<p><b>An estimate is acceptable if a book figure is not available.</b></p>	Key code	2003			
			Bil.	Mil.	Thou.	Dol.	
TOTAL OPERATING EXPENSES		003					

  

Item 4E SELECTED EXPENSES							
<p><b>1. Cost of Contract Labor</b></p> <p><b>Line 1</b> – Report payments made to suppliers for leased employees and temporary help such as office workers, provided they are <b>not on your payroll</b>, but <b>are supervised</b> by your firm. <b>Exclude</b> payments for services of persons supervised by the supplying firm, such as legal, accounting, janitorial, security, and building maintenance services.</p> <p><b>2. Expensed Materials and Supplies (not for resale)</b></p> <p><b>Line 2a</b> – Report the cost of expensed computer hardware and packaged software. <b>Include</b> hardware such as servers, CPUs, monitors, and network devices; computer software purchased under licensing agreements, and computer software license fees; and other expensed business equipment, such as copiers, fax machines, and telephones. <b>Exclude</b> leased and/or rented equipment.</p> <p><b>Line 2b</b> – Report the cost of expensed materials, parts, and supplies, which are used as part of the services you provide. <b>Include</b> office and janitorial supplies, small tools, computer-related supplies (such as cartridges and computer paper), packaging and containers, and medical supplies. <b>Exclude</b> fuels for motor vehicles, and leased and/or rented materials, parts, and supplies.</p> <p><b>3. Expensed Purchased Services</b></p> <p><b>Line 3a</b> – Report the cost of expensed custom coded software. <b>Include</b> computer-related services such as adaptation of off-the-shelf software, system design and support services, web design, and web hosting. <b>Exclude</b> computer-related communications costs.</p> <p><b>Line 3b</b> – Report the cost of data processing, computer consulting, and other purchased computer services. <b>Include</b> computer input preparation, data storage, computer time rental, microfilm imaging, and optical scanning services. <b>Exclude</b> payroll processing, credit card transaction fees, and fees for the management and operation of your data processing facilities.</p> <p><b>Line 3c</b> – Report the cost of telephone, cellular, pagers, and fax services; and computer-related communications such as Internet, connectivity, on-line, and other communication services.</p> <p><b>Line 3d</b> – Report the cost of purchased electricity. If electricity is included in a lease or rental payment, report these costs below.</p> <p><b>Line 3e</b> – Report the cost of purchased fuels for heating, power, and generating electricity. <b>Include</b> the cost of natural gas. If the cost of fuels are included in a lease or rental payment, report these costs below.</p> <p><b>Line 3f</b> – Report the cost of administrative and professional services such as management consulting, legal, accounting, auditing, bookkeeping, actuarial, payroll processing, marketing, advertising, architectural, engineering, and fees for the management and operation of your data processing facilities.</p> <p><b>Line 3g</b> – Report lease and rental costs for land, buildings, offices, structures, machinery, and equipment. <b>Include</b> lease and rental of transportation equipment without operators; and penalties incurred for broken leases. <b>Exclude</b> payments by your firm to your parent company or organization (or any of its subsidiaries) for use of assets owned by them and installment payments for assets obtained through capital lease agreements.</p> <p><b>Line 3h</b> – <b>Include</b> purchased transportation (with operators); travel and lodging; shipping and warehousing; postage and package delivery; water, sewer, and refuse removal; janitorial, security, parking, and grounds maintenance; purchased repair and maintenance; and all other purchased services. <b>Exclude</b> payroll, employer's contributions to employee benefits plans, fuels for motor vehicles, insurance, depreciation, taxes and licenses, bank charges associated with maintaining accounts, investment and brokerage fees, and credit card transaction fees.</p>		<p><b>An estimate is acceptable if a book figure is not available.</b></p> <p><b>Include only purchases from external vendors.</b></p> <p><b>Exclude capitalized costs.</b></p>	Key code	2003			
Bil.	Mil.		Thou.	Dol.			
<b>1. Cost of Contract Labor</b>		<b>1287</b>					
<b>2. Expensed Materials and Supplies (not for resale)</b>							
a. Computer and other business equipment and supplies (including packaged software)		<b>1299</b>					
b. Other materials, parts, and supplies		<b>1300</b>					
<b>3. Expensed Purchased Services</b>							
a. Custom coded software (including adaptation of off-the-shelf software) and system design and support services		<b>1302</b>					
b. Data processing and other purchased computer services		<b>1303</b>					
c. Purchased communication services		<b>1282</b>					
d. Purchased electricity		<b>1283</b>					
e. Purchased fuels (except motor fuels)		<b>1304</b>					
f. Purchased management consulting, administrative services, other professional services		<b>1305</b>					
g. Lease and rental payments		<b>807</b>					
h. All other purchased services – Specify ↘		<b>1307</b>					
1310							



# SERVICE ANNUAL SURVEY

## SECURITIES, COMMODITY CONTRACTS, AND OTHER FINANCIAL INVESTMENTS

### GENERAL INSTRUCTIONS

Your report should be completed and returned in the preaddressed envelope provided on or before the due date. **If the report does not appear to apply to your kind of business or activity, describe your business or activity in Item 1 and complete the remainder of the form as accurately as possible.**

If filing within the required time frame will cause an undue burden and you would like an extension, or if you have any questions, please write to the

**U.S. Census Bureau  
1201 East 10th Street  
Jeffersonville, IN 47132-0001**

or call our Census Bureau representative in Jeffersonville, Indiana at 1-800-772-7851, weekdays from 8:30 a.m. to 5:00 p.m., eastern time.

**Always include** your identification number, located in the address label, in any correspondence.

IF BOOK FIGURES ARE NOT AVAILABLE,  
ESTIMATES ARE ACCEPTABLE.

Please read all instructions before making your entries.

Report data for the calendar year specified. If calendar year records are not available, we will accept fiscal year data. Please note, however, that we prefer estimates for the calendar year to book figures covering a different time period. Report all values in dollars (omit cents). Enter "0" in items where appropriate. Please do not combine data for two or more items.

For location(s) sold or acquired during the year specified, report only for the period that the location(s) were operated by this firm.

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## SPECIFIC INSTRUCTIONS

### Revenue

Report revenue for all services rendered and any sales of merchandise for the calendar year specified, even though payment may have been received at a later date. **Firms operating on a commission basis should report commissions, fees, and other operating income, not gross billings or sales.**

#### **Include –**

- Total value of service contracts.
- Amounts received for work subcontracted to others.
- Market value of compensation in lieu of cash.
- Revenue from services performed by domestic locations for FOREIGN parent firms, subsidiaries, branches, etc.
- Dues and assessments from members and affiliates.
- Income from investments, sales of company-owned real estate (land and building) or other assets, (except inventory held for resale), securities, gifts, loans, contributions or grants.
- Interest earned from financing leases. Interest earned from sales, rent or lease under capital, finance, or full payout. Also include interest, dividends, and royalties.
- Net realized gains as well as (losses) within specified area(s) of activity.

#### **Exclude –**

- Taxes (sales, amusement, occupancy, use, or other) collected directly from customers or clients and paid directly to a local, State, or Federal tax agency.
- Revenue from a domestic parent organization, or from franchise locations owned by others and any franchise or license fees.
- Rents from and revenue of separately operated departments, concessions, etc., which are leased to others.
- Commissions from vending machine operators.
- Revenue of foreign subsidiaries (those located outside the U.S., i.e., outside the 50 states, District of Columbia, U.S. Commonwealth Territories, or U.S. Possessions).
- Revenue from the sale of used equipment.
- Intracompany transfers.

**SERVICE ANNUAL SURVEY  
SECURITIES, COMMODITY CONTRACTS,  
AND OTHER FINANCIAL INVESTMENTS  
SPECIFIC INSTRUCTIONS – Continued**

**E-commerce Revenue**

(In the following instructions, online refers to any transaction completed over an Internet, extranet, EDI network, electronic mail or other online system.)

***Include –***

- Revenue from online orders for goods or services placed by a buyer.
- Revenue from online services provided where charges are based on the usage of those services (e.g., commissions or fees from use of computerized reservation systems, financial transaction processing systems, etc.)
- Commissions or fees from the trading of securities or the sale of other financial products online (e.g., insurance, loans, etc.).
- Commissions or fees from selling or from facilitating the sale of third party products (e.g., click-through including referral fees) through your company's Web site.
- Revenue from orders or contracts negotiated online with a buyer and seller on the price and terms for transferring ownership or the rights to use goods or services.
- Revenue from telephone transactions using interactive voice response systems.

***Exclude –*** revenue from:

- Online billings where the order or contract was not negotiated online.
- Delivery of services online where the order or contract was not negotiated online.
- Provision of telecommunications and related infrastructure systems (e.g., data transfer, Web hosting, Internet access) where the order or contract for such services was not negotiated online.
- Orders for goods or services placed by facsimile machine or over switched telephone network.